

12-28-01

jc997 U.S. PTO

10/027878

10/26/01

UTILITY PATENT APPLICATION TRANSMITTAL		Attorney Docket No. M521-002-PAT			
		First Inventor Robert McLister			
		Title: Financial Market Device and Method of Use			
(Only for new nonprovisional applications under 37 CFR 1.53(b))		Express Mail Label No. EE820254244US			
<b>APPLICATION ELEMENTS</b> See MPEP chap. 600 concerning utility patent application contents		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231			
<p>1. <input type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17)</p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 16] - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R&amp;D - Reference to sequence listing, a table, or a computer program listing appendix  - Background of the Invention  - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets 6]</p> <p>5. <input type="checkbox"/> Oath or Declaration [Total Pages ] a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)  i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>		<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CFR) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p><b>ACCOMPANYING APPLICATION PARTS</b></p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of (when there is an assignee) Attorney</p> <p>11. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>12. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (If foreign priority is claimed)</p> <p>16. <input type="checkbox"/> Nonpublication Request under 35 USC 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or equivalent</p> <p>17. <input type="checkbox"/> Other: _____</p>			
<p>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-In-Part (CIP) of prior application No.: _____ / _____</p> <p>Prior application information: Examiner: _____ Group Art Unit: _____</p> <p><b>For CONTINUATION OR DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p>					
<b>19. CORRESPONDENCE ADDRESS</b>					
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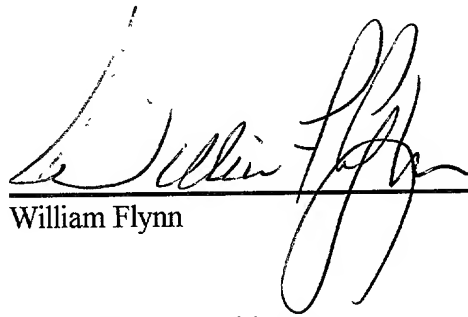
SIGNATURE

N. Paul Friedrichs IIIDate October 26, 2001

# CERTIFICATE OF EXPRESS MAILING

I, the undersigned, hereby certify that the foregoing documents are being deposited with the United States Postal Service as Express Mail, postage prepaid, in an envelope addressed to Commissioner of Patents and Trademarks, Washington, DC 20231 on October 26, 2001

- 1..Patent Application (16 pgs, 6pg. Drawings )
2. Fee Calc. Sheet
3. Transmittal Cover Sheet
4. Declaration and Power of Attorney (4 pg)
- 5..Check for \$424.00
6. Return Postcard
7. Certificate of Express Mail

  
\_\_\_\_\_  
William Flynn

October 26, 2001  
Date

EE820254244US

Applicant: Robert McLister  
Title: Financial Market Transaction Device and Method of Use  
Serial No.:  
Filing Date: October 26, 2001  
Docket No.: M521-002-PAT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant : Robert McLister  
For : Financial Market Transaction Device and Method of Use  
Docket No. : M521-002-PAT

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FEE CALCULATION SHEET

Commissioner of Patents and Trademarks  
U.S. Patent and Trademark Office  
Washington D. C. 20231

Sir:

The fees due for filing in the patent application of:

Inventor : Robert McLister  
Title : Financial Market Transaction Device and Method of Use

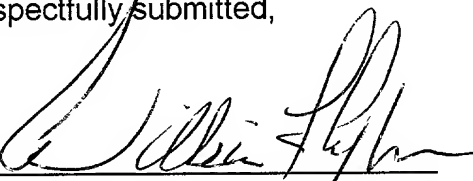
Are calculated as following:

X  Reduced fees are applicable based on the enclosed Verified Statement claim  
Small Entity status to which no change in status has occurred.

	(Col. 1)	(Col. 2)	Small Entity	Large Entity
FOR:	NO. FILED	NO. EXTRA	RATE FEE OR RATE FEE	
BASIC FEE			\$370.00 = \$370.00	\$710 = \$370.00
TOTAL CLAIMS	Total # of Claims - 20	6 Extra Claims	x \$9 = \$54	x 18 = \$54.00
INDEP CLAIMS	# of Ind. Claims - 3	0 Extra Claims	x 40 = \$0	x 80 = \$
_0_ Multiple Dependant Claim(s) Presented			+ 135 = \$0	+ 270 = \$
If the difference in Col. 1 is less than zero, ENTER "0" in Col. 2			TOTAL \$00	TOTAL \$424.00

\_\_\_\_\_ A check in the amount of \$424.00 to cover the filing fee is enclosed.

Respectfully submitted,

By:   
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